



Request  
For  
Continued Examination (RCE)  
Transmittal

Application Number	09/606,742
Filing Date	June 29, 2000
First Named Inventor	COX et al.
Group Art Unit	3738
Examiner Name	David J. Isabella
Attorney Docket Number	003-002-C1 (086-C1)

**This is a Request for Continued Examination (RCE) under 37 C.F.R. §1.114 of the above-identified application.**

Request for Continued Examination (RCE) practice under 37 CFR 1.114 does not apply to any utility or plant application filed prior to June 8, 1995, or to any design application. See Instruction Sheet for RCEs (not to be submitted to the USPTO) on page 2.

1. **Submission required under 37 C.F.R. §1.114** Note: If the RCE is proper, any previously filed unentered amendments and amendments enclosed with the RCE will be entered in the order in which they were filed unless applicant instructs otherwise. If applicant does not wish to have any previously filed unentered amendment(s) entered, applicant must request non-entry of such amendment(s)
- a. ☐ Previously submitted. If a final Office action is outstanding, any amendment filed after the final Office action may be considered as a submission even if this box is not checked.
- i. ☐ Consider the arguments in the Appeal Brief or Reply Brief previously filed on \_\_\_\_\_
- ii. ☐ Other \_\_\_\_\_
- b. ☒ Enclosed
- i. ☐ Amendment/Reply
- iii. ☒ Information Disclosure Statement (IDS)
- ii. ☐ Affidavit(s)/Declaration(s)
- iv. ☐ Other \_\_\_\_\_
2. **Miscellaneous**
- a. ☐ Suspension of action on the above-identified application is requested under 37 C.F.R. §1.103(c) for a period of \_\_\_\_\_ months. (Period of suspension shall not exceed 3 months; Fee under 37 C.F.R. §1.17(i) required)
- b. ☐ Other \_\_\_\_\_
3. **Fee** The RCE fee under 37 C.F.R. §1.17(e) is required by 37 C.F.R. §1.114 when the RCE is filed.
- a. ☒ The Director is hereby authorized to charge the following fees, or credit any overpayments, to Deposit Account No. 50-1247
- i. ☒ RCE fee required under 37 CFR 1.17(e)
- ii. ☐ Extension of time fee (37 CFR 1.136 and 1.17)
- iii. ☒ Other Any deficiencies
- b. ☐ Check in the amount of \$\_\_\_\_\_ enclosed
- c. ☐ Payment by credit card (Form PTO-2038 enclosed)

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**SIGNATURE OF APPLICANT, ATTORNEY OR AGENT REQUIRED**

Name (Print/Type)	Jens E. Hoekendijk	Registration No. (Attorney/Agent)	37,149
Signature	<i>Jens E. Hoekendijk</i>	Date	September 2, 2003

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Name (Print/Type)	Edna L. Canonizado	Date	September 2, 2003
Signature	<i>Edna L. Canonizado</i>		



PTO/SB/21 (6-98)  
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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/606,742
Filing Date	June 29, 2000
First Named Inventor	COX et al.
Group Art Unit	3738
Examiner Name	David J. Isabella
Attorney Docket Number	003-002-C1 (086-C1)

Total Number of Pages in this Submission

11

### ENCLOSURES (check all that apply)

- ☒ Fee Transmittal Form  
☐ Fee Attached
- ☐ Amendment / Response  
☐ After Final  
☐ Affidavits/declaration(s)  
☐ Extension of Time Request  
☐ Express Abandonment Request  
☒ Information Disclosure Statement  
☐ Certified Copy of Priority Document(s)  
☐ Response to Missing Parts/  
Incomplete Application  
☐ Response to Missing  
Parts under 37 CFR  
1.52 or 1.53

- ☐ Assignment Papers  
(for an Application)  
☐ Drawings  
☐ Licensing-related Papers  
☐ Petition Routing Slip (PTO/SB/69)  
and accompanying Petition  
☐ Petition to Convert to a  
Provisional Application  
☐ Power of Attorney, Revocation  
Change of Correspondence  
Address  
☐ Terminal Disclaimer  
☐ Small Entity Statement  
☐ Request for Refund

- ☐ After Allowance Communication  
to Group  
☐ Appeal Communication to Board  
of Appeals and Interferences  
☐ Appeal Communication to Group  
(Appeal Notice, Brief, Reply Brief)  
☐ Proprietary Information  
☐ Status Letter  
☒ Additional Enclosure(s)  
(please identify below):

RCE transmittal  
PTO-1449 (9 pages)  
COPIES of all cited references  
Confirmation postcard

Remarks

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Firm or Individual name	Jens E. Hoekendijk, Reg. No. 37,149
Signature	
Date	September 2, 2003

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Attorney Docket No.: 003-002-C1 (086-C1)



Substitute Form PTO-1449 (Revised)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 003-002 C1 (086-C1)	Application No. 09/606,742
<b>Information Disclosure Statement nt by Applicant</b> (Use several sheets if necessary)		Applicant Dr. James L. Cox et al.	
		Filing Date 06/29/2000	Group Art Unit 3738
(37 CFR §1.98(b))			

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	*	DOCUMENT NO.	DATE	NAME	CLASS	SUB-CLASS
		3,862,627	01/1975	Hans, Sr.		
		4,736,749	04/1988	Lundback		
		4,815,470	03/1989	Curtis et al.		
		4,872,346	10/1989	Kelly-Fry et al.		
		4,917,095	04/1990	Fry et al.		
		4,936,281	06/1990	Stasz, Peter		
		5,080,102	01/1992	Dory		
		5,222,501	06/1993	Ideker et al.		
		5,277,201	01/1994	Stern		
		5,231,995	08/1993	Desai		
		5,263,493	11/1993	Avitall		
		5,269,291	12/1993	Carter, Robert E.		
		5,323,781	06/1994	Ideker et al.		
		5,324,284	06/1994	Imran		
		5,324,255	06/1994	Passafaro et al.		
		5,348,554	09/1994	Imran et al.		
		5,354,258	10/1994	Dory		
		5,385,148	01/1995	Lesh et al.		
		5,396,887	03/1995	Imran		
		5,400,783	03/1995	Pomeranz et al.		
		5,423,811	06/1995	Imran et al.		
		5,427,119	06/1995	Swartz et al.		
		5,431,649	07/1995	Mulier et al.		
		5,435,308	07/1995	Gallup et al.		
		5,437,651	08/1995	Todd et al.		
		5,443,463	08/1995	Stern et al.		
		5,443,470	08/1995	Stern et al.		
		5,452,733	09/1995	Sterman et al.		
		5,462,545	10/1995	Wang et al.		
		5,465,717	11/1995	Imran et al.		
		5,469,853	11/1995	Law et al.		
		5,478,330	12/1995	Imran et al.		
		5,496,312	03/1996	Klicek		
		5,497,774	03/1996	Swartz et al.		
		5,500,012	03/1996	Brucker et al.		
		5,505,730	04/1996	Edwards		

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Substitute Form PTO-1449 (Transmitted)		U.S. Department of Commerce Patent and Trademark Office		Attorney's Docket No. 003-002 C1 (086-C1)		Application No. 09/606,742	
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)				Applicant Dr. James L. Cox et al.		Group Art Unit 3738	
				Filing Date 06/29/2000			
(37 CFR §1.99(b))							
EXAMINER INITIAL	*	DOCUMENT NO.	DATE	NAME	CLASS	SUB-CLASS	
		5,536,267	07/1996	Edwards et al.			
		5,545,195	08/1996	Lennox et al.			
		5,549,661	08/1996	Kordis et al.			
		5,555,883	09/1996	Avitall			
		5,560,362	10/1996	Sliwa, Jr. et al.			
		5,562,720	10/1996	Stern et al.			
		5,569,241	10/1996	Edwards			
		5,571,088	11/1996	Lennox et al.			
		5,571,215	11/1996	Sterman et al.			
		5,575,788	11/1996	Baker et al.			
		5,582,609	12/1996	Swanson et al.			
		5,588,432	12/1996	Crowley			
		5,590,657	01/1997	Cain et al.			
		5,595,183	01/1997	Swanson et al.			
		5,607,462	03/1997	Imran			
		5,617,854	04/1997	Munsif			
		5,630,837	05/1997	Crowley			
		5,637,090	09/1997	McGee et al.			
		5,658,278	08/1997	Imran et al.			
		5,671,747	09/1997	Connor			
		5,673,695	10/1997	McGee et al.			
		5,676,692	10/1997	Sanghvi et al.			
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		5,688,267	11/1997	Panesco et al.			
		5,697,925	12/1997	Taylor			
		5,713,942	02/1998	Stern			
		5,718,241	02/1998	Ben-Haim et al.			
		5,730,074	03/1998	Peter			
		5,730,704	03/1998	Avitall			
		5,735,280	04/1998	Sherman et al.			
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		5,785,706	07/1998	Bednarek, Michael C.			
		5,797,960	08/1998	Stevens et al.			
		5,840,030	11/1998	Ferek-Petric et al.			
		5,844,349	12/1998	Oakley et al.			
		5,849,028	12/1998	Chen			
		5,873,845	02/1999	Cline et al.			
		5,876,399	03/1999	Chia et al.			

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Substitute Form PTO-1449 (USPTO Form 1449) (37 CFR §1.98(b))		U.S. Department of Commerce Patent and Trademark Office		Attorney's Docket No. 003-002 C1 (086-C1)		Application No. 09/606,742	
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)				Applicant Dr. James L. Cox et al.		Group Art Unit 3738	
				Filing Date 06/29/2000			

  

EXAMINER INITIAL	*	DOCUMENT NO.	DATE	NAME	CLASS	SUB-CLASS
		5,879,295	03/1999	Li et al.		
		5,893,848	04/1999	Negus et al.		
		5,904,711	05/1999	Flom et al.		
		5,906,580	05/1999	Kline-Schoder et al.		
		5,927,284	07/1999	Borst et al.		
		5,931,810	08/1999	Grabek		
		5,931,848	08/1999	Saadat		
		5,954,661	09/1999	Greenspon et al.		
		5,971,980	10/1999	Sherman		
		5,993,447	11/1999	Blewett et al.		
		6,007,499	12/1999	Martin et al.		
		6,012,457	01/2000	Lesh		
		6,042,556	03/2000	Beach et al.		
		6,071,279	06/2000	Whayne et al.		
		6,088,894	07/2000	Oakley		
		6,113,592	09/2000	Taylor		
		6,117,101	09/2000	Diederich et al.		
		6,120,496	09/2000	Whayne et al.		
		6,142,994	11/2000	Swanson et al.		
		6,152,920	11/2000	Thompson et al.		
		6,161,543	12/2000	Cox et al.		
		6,217,576 B1	04/2001	Tu et al.		
		6,217,528	04/2001	Koblish et al.		
		6,231,518	05/2001	Grabek et al.		
		6,237,605	05/2001	Vaska et al.		
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		6,270,471 B1	08/2001	Hechel et al.		
		6,293,943 B1	09/2001	Panescu et al.		
		6,296,619 B1	10/2001	Brisken et al.		
		6,302,880 B1	10/2001	Schaer		
		6,311,692	11/2001	Vaska et al.		
		6,312,383 B1	11/2001	Lizzi et al.		
		6,314,962 B1	11/2001	Vaska et al.		
		6,314,963	11/2001	Vaska et al.		
		6,325,797	12/2001	Stewart et al.		
		6,332,881	12/2001	Camer et al.		

  

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Substitute Form PTO-1449 (Rev. 01/03)		U.S. Department of Commerce Patent and Trademark Office		Attorney's Docket No. 003-002 C1 (086-C1)		Application No. 09/606,742	
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)  (37 CFR §1.98(b))				Applicant <b>Dr. James L. Cox et al.</b>		Group Art Unit 3738	
				Filing Date 06/29/2000			
EXAMINER INITIAL	*	DOCUMENT NO.	DATE	NAME	CLASS	SUB-CLASS	
		2002/0022839A1	02/2002	Stewart et al.			
		2002/0026183A1	02/2002	Simpson			
		6,361,531	03/2002	Hissong, James B.			
		6,364,876	04/2002	Erb et al.			
		6,368,275 B1	04/2002	Sliwa et al.			
		6,371,955 B1	04/2002	Fuimaono et al.			
		2002/0062124A1	05/2002	Keane			
		6,383,151	05/2002	Diederich et al.			
		6,385,472 B1	05/2002	Hall et al.			
		6,398,792	06/2002	O'Connor			
		2002/0087151	07/2002	Mody et al.			
		2002/0087208A1	07/2002	Koblisch et al.			
		6,413,254	07/2002	Hissong et al.			
		6,419,648 B1	07/2002	Vitek et al.			
		6,425,867	07/2002	Vaezy et al.			
		6,430,426	08/2002	Avitall			
		6,447,507	09/2002	Bednarek et al.			
		2002/0143326A1	10/2002	Foley et al.			
		6,461,314	10/2002	Pant et al.			
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		6,461,356 B1	10/2002	Patterson			
		6,464,700 B1	10/2002	Koblisch et al.			
		6,471,698 B1	10/2002	Edwards et al.			
		6,474,340 B1	11/2002	Vaska et al.			
		6,477,396 B1	11/2002	Mest et al.			
		6,484,727 B1	11/2002	Vaska et al.			
		6,527,767 B1	03/2003	Wang et al.			

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Substitute Form PTO-1449 (Rev. 10-01-99)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 003-002 C1 (086-C1)	Application No. 09/606,742
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)		Applicant <b>Dr. James L. Cox et al.</b>	
		Filing Date 06/29/2000	Group Art Unit 3738

**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIAL	*	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB- CLASS	TRANS- LATION?
		AU A-70522/96	11/1994	Australia			
		WO 95/10318	04/1995	PCT			
		WO 95/10319	04/1995	PCT			
		WO 95/10321	04/1995	PCT			
		WO 95/10978	04/1995	PCT			
		WO 95/17222	06/1995	PCT			
		WO 95/15115	06/1995	PCT			
		WO 96/10961	04/1996	PCT			
		WO 96/26675	09/1996	PCT			
		WO 96/39966	12/1996	PCT			
		WO 97/25918	07/1997	PCT			
		WO 97/17904	05/1997	PCT			
		WO 97/25916	07/1997	PCT			
		WO 97/25919	07/1997	PCT			
		WO 97/33526	09/1997	PCT			
		WO 97/37607	10/1997	PCT			
		WO 97/41793	11/1997	PCT			
		WO 97/43970	11/1997	PCT			
		WO 97/45156	12/1997	PCT			
		WO 98/17187	04/1998	PCT			
		WO 99/48421A1	09/1999	PCT			
		WO 99/49788	10/1999	PCT			
		WO 99/59486	11/1999	PCT			
		WO 00/45706	08/2000	PCT			
		WO 00/57495	09/2000	PCT			
		WO 01/03594A1	01/2001	PCT			
		WO 01/05305A1	01/2001	PCT			
		WO 01/28623A2	04/2001	PCT			
		WO 01/45550A2	06/2001	PCT			
		WO 01/66189A1	09/2001	PCT			
		WO 01/70112A1	09/2001	PCT			
		WO 01/72234A1	10/2001	PCT			
		WO 01/72373A2	10/2001	PCT			
		WO 01/82778A2	11/2001	PCT			
		WO 02/05720A1	01/2002	PCT			
		WO 02/05722A1	01/2002	PCT			

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Substitute Form PTO-1449 (Mandatory)		U.S. Department of Commerce Patent and Trademark Office		Attorney's Docket No. 003-002 C1 (086-C1)		Application No. 09/606,742	
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)  (37 CFR §1.98(b))				Applicant Dr. James L. Cox et al.			
				Filing Date 06/29/2000		Group Art Unit 3738	
		WO 02/05868A2	01/2002	PCT			
		WO 02/077774A2	10/2002	PCT			
		1181896A1	02/2002	EP			
		WO 02/09610A1	02/2002	PCT			
		WO 02/21995A2	03/2002	PCT			
		WO 02/24050	03/2002	PCT			
		WO 02/26142A1	04/2002	PCT			
		WO 02/30310A1	01/2002	PCT			
		WO 02/40093	05/2002	PCT			
		WO 02/45608A2	06/2002	PCT			

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Subsidiary PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 003-002 C1 (086-C1)	Application No. 09/606,742
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)		Applicant Dr. James L. Cox et al.	
		Filing Date 06/29/2000	Group Art Unit 3738
(37 CFR §1.98(b))			

EXAMINER INITIAL	Other Art (Including Author, Title, Date, Pages, etc.)
	He et al., "Preliminary Results Using Ultrasound Energy for Ablation of the Ventricular Myocardium in Dogs," <i>Am J Card</i> , 1994;73:1029-1031.
	Hunt, John W., "Application of Microwave, Ultrasound and Radiofrequency Heating," <i>Natl Cancer Inst Monogr</i> , (1982); 61: 447-456
	Jais et al., "Catheter Ablation for Paroxysmal Atrial Fibrillation: High Success Rates with Ablation in the Left Atrium," <i>Circulation</i> (November 1996) 94:1-675, #3946
	McRury, Ian D., Haines, David E., "Ablation for the Treatment of Arrhythmias," <i>Proceedings of the IEEE</i> , (1996); Vol 84, No 3: 404-415
	Mittleman et al., "Use of the Saline Electrode Catheter for Improved Energy Delivery and Increased Lesion Size in Radiofrequency Catheter Ablation," <i>PACE</i> , (1995); 18[Pt 1]: 1022-1027
	Sibille et al., "Characterization of Extracorporeal Ablation of Normal and Tumor-Bearing Liver Tissue by High Intensity Focused Ultrasound," <i>Ultrasound in Med. &amp; Biol.</i> , (1993); Vol 19, No 9: 803-813
	Sie et al., "Radiofrequency Ablation of Atrial Fibrillation in Patients Undergoing Mitral Valve Surgery. First Experience," <i>Circulation</i> (November 1996) 96:450,1-675, #3946
	Weber, "Laser versus Radiofrequency Catheter Ablation of Ventricular Myocardium in Dogs: A Comparative Test," <i>Cardiology</i> , 1997: 88:346-352.
	Whayne et al., "Microwave Catheter Ablation of Myocardium In Vitro..." <i>Circulation</i> (1994); 89: 2390-2395

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